

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Michael T. Dorsey; et al. )  
Serial No.: Herewith )  
Filed: Herewith )  
Title: Automated Execution and Risk Management )  
of Transactions in Securities )  
Group Art Unit: Herewith )  
Examiner: Unknown )  
Customer No.: 27160 )  
Confirmation No.: Unknown )

**PRELIMINARY AMENDMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Before Examining the above identified case on the merits, please enter the following amendment

**Amendment to the Specification** is reflected on page 2

**Amendments to the Claims** are reflected in the listing of claims which begins on page 3 of this paper.

**Remarks/Arguments** begin on page 5 of this paper.